

Appl. No. 09/730,547

REMARKS/ARGUMENTS

In the specification, the Abstract and pages 6 and 7 have been amended to address the objections thereto on page 2 of the Office Action. In particular, the Abstract has been revised, and now is within the range of 50 to 150 words. The disclosure has been amended to delete the embedded hyperlinks from page 7. As amended, page 7 refers to an organization from which the referenced documents are available, instead of to its website.

Claims 1 to 4, 12 to 13, 18 to 23, 31 to 32, 37 to 39, 43 to 46, 48 to 49, and 52 were rejected under 35 U.S.C. 102(e) as being anticipated by Asad *et al.* (United States Patent No. 6,725,240).

In respect of independent claims 1, 37, and 46, page 3 of the Office Action states that Asad *et al.* discloses a method of performing remote notification of records, each having a record identifier, the method comprising: maintaining a record-user mapping which associates with each of the plurality of record identifiers a respective one or more user names, for each record upon which remote notification is to be performed obtaining the record's record identifier's respective one or more user names from the record-user mapping, for each user name in the record's record identifier's respective one or more user names obtaining from a user name-addressable entity mapping a respective addressable entity and sending a notification of the record to the addressable entity. According to the Office Action, these features are disclosed at column 5 lines 19-67, column 6 lines 1 to 12 and 22 to 45, column 7 lines 29 to 67, column 8 lines 1 to 26, and Figures 4 and 5 of Asad *et al.*

However, it is respectfully submitted that Asad *et al.* fails to disclose performing remote notification of records based on a record-user mapping or a user name-addressable entity mapping, as recited in these independent claims. With reference, for example, to column 5 lines 48 to 52 and Figure 4 of Asad *et al.*, audit clients 402 and 404 are merely collectors of events which are sent to the audit servers 406 and 412. The audit servers 406 and 412 collect the events from the audit clients 402 and 404 into an audit database 410. There is no teaching or suggestion in Asad *et al.* that the audit clients 402 and 404 have any capability for selective forwarding of events based on a record-user mapping or a user name-addressable entity mapping, as recited in

Appl. No. 09/730,547

each of claims 1, 37, and 46. *Asad et al.* also lacks any discussion of the audit servers 406 and 412 performing subsequent distribution or notification of audit records based on any such mappings. The audit servers 406 and 412 merely collect events into an audit database.

In regard to the sending of events to the audit servers 406 and 412 by the audit clients 402 and 404, it is noted that record identifiers are assigned by the audit servers 406 and 412 and not by the audit clients 402 and 404. Accordingly, the operation of the audit clients 402 and 404 to send events to the audit servers 406 and 412 cannot reasonably be construed as "performing remote notification of records each having a respective record identifier", since the record identifiers would not yet have been assigned when events are sent by the audit clients 402 and 404 to the audit servers 406 and 412.

Asad et al. also fails to disclose or suggest the operation of obtaining one or more user names associated with a record identifier from a record-user mapping. Although the audit log table 530 shown in Figure 5 includes a row for each event received from an audit client and columns for a serial number and an authorized entity, *Asad et al.* provides absolutely no teaching of obtaining an authorized entity from the audit log table for the purposes of performing remote notification of an event or record.

There is also no disclosure in *Asad et al.* of the claimed feature of obtaining from a user name-addressable entity mapping a respective addressable entity. Again, although Figure 5 of *Asad et al.* shows an authorized entity table 550, which it is believed has been interpreted as being equivalent to a user name-addressable entity mapping, no teaching of obtaining a distinguished name which corresponds to an authorized entity stored in the audit log table 530 has been provided in *Asad et al.*

Asad et al. also fails to disclose the operation of sending a notification of a record to an addressable entity obtained from a user name-addressable entity mapping.

Clearly, *Asad et al.* fails to disclose performing remote notification of records as recited in the independent claims 1, 37, and 46. At least the above claimed features patentably distinguish these claims over *Asad et al.*

Appl. No. 09/730,547

The rejected dependent claims 2 to 4, 12 to 13, 18 to 19, 38 to 39, 43 to 45, 48 to 49, and 52 all depend from one of the independent claims 1, 37, and 46 and thus similarly distinguish over Asad *et al.* for at least the above reasons.

The dependent claim 13 includes additional features which have not been disclosed in Asad *et al.* This claim recites record reading parameters which determine circumstances under which a new set of records for processing is to be obtained, and obtaining the new set of records for processing in accordance with the record reading parameters. From page 4 of the Office Action, it is apparent that the application programming interface disclosed in Asad *et al.* has been interpreted as being equivalent to "circumstances under which the new set of records for processing is to be obtained". It is respectfully submitted that an API is not equivalent to such "circumstances". An example of the claimed record reading parameters is provided at page 9 line 17 to page 10 line 2 of the specification of the instant application, which describes "information identifying how often the remote notification tool 18 should query the audit record repository 14 for new audit records for processing for remote notification". This type of parameter would not be part of an API, and accordingly Asad *et al.* does not disclose record reading parameters which determine circumstances under which a new set of records for processing is to be obtained, as recited in claim 13.

In respect of claims 18 to 20, 44, and 45, the Office Action states on page 4 that Asad *et al.* discloses identifying at least one record identifier for which target audit record processing is to be performed, the target audit record processing comprising: for each record identifier for which target audit record processing is to be performed reading from the associated record a target user name, obtaining from the user name-addressable entity mapping a respective addressable entity for the target user name and sending a notification of the record to the addressable entity. The Office Action refers to column 8 lines 53 to 67 and column 9 lines 1 to 27 as supposedly disclosing these features.

Referring to these passages of Asad *et al.*, an audit record creation process is described, in which an audit client from which an event is received is notified of any of various failures in the audit record creation process. However, the audit record creation process does not involve reading a target user name from a record, obtaining from a user name-addressable entity mapping

Appl. No. 09/730,547

a respective addressable entity for the target user names, or sending a notification of the record to the addressable entity. Notifications of failures are provided to an audit client from which event is received. There is no teaching in Asad *et al.* of reading a target user name from a record or obtaining an addressable entity to which a notification of the record is to be sent. Failure notifications are sent only to an audit client, and not to an addressable entity associated with a target user name specified in an audit record.

At least the above features recited in claims 18 to 20, 44, and 45 have not been disclosed in Asad *et al.* The rejected dependent claims 21 to 23 and 31 to 32 depend from independent claim 20 and thus similarly distinguish over the cited reference. Claim 32 also depends from claim 20 and recites the additional features of record reading parameters, which further distinguish the claim over the cited reference substantially as described above with reference to claim 13.

It is therefore respectfully submitted that claims 1 to 4, 12 to 13, 18 to 23, 31 to 32, 37 to 39, 43 to 46, 48 to 49, and 52 are not anticipated by Asad *et al.*, which fails to disclose or suggest at least the above features. Reconsideration and withdrawal of the rejection of these claims under 35 U.S.C. 102(e) as being anticipated by Asad *et al.* are respectfully requested.

The remaining claims 5 to 11, 14 to 17, 24 to 30, 33 to 36, 40 to 42, 47, 50 to 51, and 53 to 55 were rejected under 35 U.S.C. 103(a) as being unpatentable over Asad *et al.* in view of Bisbee *et al.* (United States Patent No. 6,367,013).

However, it is respectfully submitted that a *prima facie* case of obviousness has not been established in respect of these claims, since the cited references do not disclose all of the claimed features, and there is no motivation to combine the references as suggested in the Office Action.

In the detailed discussion of the obviousness rejection beginning on page 5 of the Office Action, it is stated that "as per claims 1, 20, 37, and 46, Asad *et al.* discloses the invention as claimed". As discussed in detail above, however, Asad *et al.* does not disclose many of the features recited in the independent claims 1, 20, 37, and 46. Bisbee *et al.* similarly fails to disclose or suggest at least the above features, and accordingly, the cited references, whether taken alone or in combination, fail to disclose or suggest remote notification of records as

Appl. No. 09/730,547

claimed. The independent claims 1, 20, 37, and 46 thus patentably distinguish over the combination of Asad *et al.* and Bisbee *et al.* By virtue of their dependency from one of the independent claims 1, 20, 37, and 46, the rejected claims 5 to 11, 14 to 17, 24 to 30, 33 to 36, 40 to 42, 47, 50 to 51, and 53 to 55 similarly distinguish over the cited references for at least the reasons discussed in detail above.

Claims 14 to 17 and 33 to 36 recite additional features of a notification message or a notification. As the cited references fail to disclose any notification of records, these claimed features further distinguish claims 14 to 17 and 33 to 36 thereover.

Thus, as discussed in detail above, the combination of Asad *et al.* and Bisbee *et al.* does not disclose the features recited in the rejected claims.

Turning now to the issue of a motivation to combine the teachings of the cited references, page 6 of the Office Action states that it would have been obvious to a person having ordinary skill in the art to modify the audit record system of Asad *et al.* by combining the secure audit tracking system in Bisbee *et al.* using public key cryptography to ensure the validity of an audit with a trusted date-time stamp, a digital signature, and authentication certificate, and refers to column 4, lines 33 to 42 of Bisbee *et al.* as providing a motivation to do so. It is not clear from the Office Action or the cited references why such a combination would be necessary or even desirable. Asad *et al.* already includes mechanisms for ensuring the integrity of audit records, and therefore a person skilled in the art would not perceive any need to modify the Asad *et al.* system to provide additional validity or integrity mechanisms. Accordingly, a person skilled in the art would not be motivated to combine the references as suggested in the Office Action.

Reconsideration and withdrawal of the obviousness objection to claims 5 to 11, 14 to 17, 24 to 30, 33 to 36, 40 to 42, 47, 50 to 51, and 53 to 55 are respectfully requested. As discussed above, there is no motivation to combine the cited references, and even if combined, the cited references do not disclose the features recited in the rejected claims.

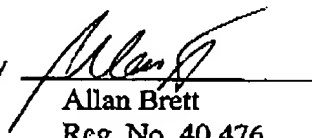
Appl. No. 09/730,547

In view of the foregoing, early favorable consideration of this application is earnestly solicited.

Respectfully submitted,

KARIM NATHOO, ET AL

By


Allan Brett

Reg. No. 40,476

Tel.: (613) 232-2486 ext. 323

Date: January 5, 2005

RAB:DMW:acb